

CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA) PROGRAM:

Offender Treatment Program

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

GRANT AWARD NUMBER: ZO 09 01 0290 **DATE OF SITE VISIT:** 10/13/10

GRANT PERIOD: 10/1/09 – 3/31/10

RECIPIENT/IMPLEMENTING AGENCY: County of Nevada / Health & Human Services

PROJECT DIRECTOR: Mary Lowe

PERSONS INTERVIEWED DURING SITE VISIT:

<u>NAME</u>	<u>TITLE</u>	<u>AGENCY</u>
Mary Lowe	AOD Program Manager	Behavioral Health
Allison McClaughy	Accountant	Behavioral Health
Jan Spreie	Therapist	Behavioral Health
Michael Ertola`	Program Manager	Nevada Co. Probation
Martin Polt	Fiscal Officer	Behavioral Health
Michael Heggarty	Director	Behavioral Health

Signature of Program Specialist

Date

Signature of Section Chief

Date

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW

1. OPERATIONAL DOCUMENTS

YES NO N/A

Review hard copy/verify the ability to access on line:

- | | | | |
|--|-------------------------------------|--------------------------|-------------------------------------|
| • The Cal EMA Recipient Handbook (R.H.) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • The Approved Grant Award Agreement | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • The RFA/RFP (supersedes the requirement of the R.H.) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • The Program Guidelines (supersedes the requirement of the R.H.) | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at www.whitehouse.gov/omb/circulars . | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

Grant staff were familiar with operational documents and could access them on line.

2. FIDELTY BOND CERTIFICATE - COMMUNITY BASED ORGANIZATIONS (CBO) & AMERICAN INDIAN ORGANIZATIONS ONLY

- | | | | |
|--|--------------------------|--------------------------|-------------------------------------|
| • Obtain copy of required Fidelity Bond Certificate? <i>[R.H. Section 2161]</i> Does <u>not</u> apply to state, city, or county units of government. | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| • Does the certificate show: | | | |
| ○ Bonding company's name | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Bond number | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Description of coverage | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Amount of coverage (50% of allocation) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Bond period | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Grant award number | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Form A, Employee Dishonesty | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Form B, Forgery Coverage | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Is the State of California, California Emergency Management Agency named on the bond as the beneficiary? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

3. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (R.H. Section 2153)

- | | | | |
|--|--------------------------|--------------------------|-------------------------------------|
| • Does the project have its CEQA documentation on file?(Ask to view) | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| ○ Certified Exempt | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Recipient has adopted or certified an environmental document which complies with the requirements of CEQA. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

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SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

4. PROOF OF AUTHORITY (R.H. Section 1350)

YES NO N/A

- Does the project have a written authorization/resolution on file as required by the Grant Award Agreement? (Ask for copy)

☒ ☐ ☐

Comments:

Resolution No. 10-128, approving acceptance of the Grant Award Agreement was adopted by the Board of Supervisors on 4/13/10. This resolution is incomplete, See Section IV.

5. ORGANIZATIONAL CHART

- Review the organizational chart. Are all budgeted positions identified?

☒ ☐ ☐

Comments:

The Organizational Chart contained in the Grant Award Agreement was in place at the time of the visit.

6. Cal EMA MODIFICATION (Cal EMA 2-223)

- Review the purpose/preparation of Grant Award Modification Request (Cal EMA 2-223). [R. H. Section 7500] (*Instruct project staff on the procedure to obtain the most recent forms from Cal EMA's website.*)

☒ ☐ ☐

A modification is needed for the following:

- Budget changes
- Change in key personnel
- Adding/changing additional signers
- Change goals/objectives, or activities
- Address change
- Other

Comments:

All grant personnel are familiar with the purpose and preparation of the Grant Award Modification (2-223). At this time, no modifications are anticipated.

7. PERSONNEL POLICIES

- Does the project staff have access to written personnel policies as required? [R. H. Section 2130]
- Do the personnel policies include:
 - Work hours
 - Compensation rates including overtime and benefits
 - Vacation, sick, and other leave allowances
 - Hiring and promotional policies

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SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

- Do the personnel files include:
 - Staff note: Complete a sample review of a personnel file ☐ ☒ ☐
 - Job application ☒ ☐ ☐
 - Resume ☒ ☐ ☐
 - Performance evaluations ☒ ☐ ☐
 - Salary rates ☒ ☐ ☐
 - Benefits ☒ ☐ ☐
 - Current job duties/descriptions ☒ ☐ ☐
 - Other terms of employment ☒ ☐ ☐
- Does the project have a current Drug Free Workplace policy statement on file signed by the employee? [R. H. Section 2152] ☒ ☐ ☐
- Did the Board approve the agency's existing personnel policy? ☒ ☐ ☐

Comments:

Human Resources policies do not allow an outside review of personnel files unless there is an investigation.
Policies are located in the County Home Page "Infonet"; the Executive Secretary & Accountant have hard copies.

8. FUNCTIONAL TIMESHEETS

- Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? [R. H. Section 11331] ☒ ☐ ☐
- Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (Review timesheets to ensure signatures of staff and supervisor.) ☒ ☐ ☐

Comments:

Time is tracked by PCN and Task numbers, and kept electronically in the e-FinancePlus+ database.

9. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction? ☒ ☐ ☐
 - Name of individual who approves purchases.
Mary Lowe / Michael Ertola
 - Name of individual who writes checks.
Martin Polt
 - Name of individual(s) who signs checks.
Marcia Salter, Auditor

Comments:

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SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

10. SOURCE DOCUMENTATION-Fiscal [R. H. Section 11000]

- | | YES | NO | N/A |
|--|-------------------------------------|--------------------------|-------------------------------------|
| • Does the project maintain a record-keeping system which accurately supports costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Does the project maintain an accurate inventory log of equipment purchased with grant funds? | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Comments:

Source documentation is tracked by PCN and stored electronically. Each County contract has a separate number for each funding source.

11. PROJECT EXPENDITURES

- | | | | |
|--|-------------------------------------|-------------------------------------|--------------------------|
| • Is the project's expenditure rate commensurate with the elapsed period of the grant? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Does the project need to submit a Grant Award Modification Request (Cal EMA Form 2-223)? | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Is the project up-to-date with the submission of Cal EMA Form 2-201? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

12. MATCH REQUIREMENTS

- | | | | |
|--|--------------------------|-------------------------------------|--------------------------|
| • Does the project have a match requirement? | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| • Is the project meeting the match requirement? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Review the supporting documentation to substantiate cash or in-kind match. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

13. EEO POLICY

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| • Go over EEO checklist. (Separate document) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|--|-------------------------------------|--------------------------|--------------------------|

Comments:

The policies were not printed out, but this Program Specialist received a copy of the County Personnel Codes which have been forwarded to Lisa Abila, CalEMA's Compliance Officer.

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SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

GENERAL

YES NO N/A

14. PROGRAM GOALS AND OBJECTIVES

- Review the goals and objectives of the program and the programmatic requirements of the Grant Award Agreement. Is the project meeting the program's goals and objectives?
- Does the project need to submit Cal EMA Form 2-223 to modify grant objectives?

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Comments:

Outpatient services & residential treatment services are exceeding the objectives. If any funds are identified as excess in any line items, a 2-223 may be submitted to augment these categories.

15. PROGRESS REPORT

- Discuss and review the programmatic Progress Report requirements.

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Comments:

Project staff are familiar with the forms and due dates for the required progress reports.

16. SOURCE DOCUMENTATION-Programmatic

- Is the project maintaining a record keeping and data collection process that which accurately supports the project's reported data on the Progress Report form?
- Review the project's file system and data collection process.

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Comments:

The behavioral therapist attends all court meetings and reviews the treatment providers notes. The source documentation is maintained on Excel spread sheets.

17. OPERATIONAL AGREEMENTS

- Does the project have current Operational Agreements as required by the Grant Award Agreement?

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Comments:

I was provided with the current Operational Agreements between Behavioral Health and Progress House, Community Recovery Resources and Common Goals. The MOU with Probation will be sent electronically. See Section IV

18. PROJECT STAFF DUTIES

- Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement?

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Comments:

The Probation Manager and therapist from Behavioral Health indicated that the duties for the positions are as stated in the grant.

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SECTION III- AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (ARRA) PROGRAMMATIC REVIEW

- | | YES | NO | N/A |
|--|-------------------------------------|--------------------------|--------------------------|
| 1. Is the project aware that they must provide Cal EMA with a valid Data Universal Numbering System (DUNS) Number for the Implementing agency not the county's DUN's number? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

The implementing agency is the county.

2. Is the project aware of the Central Contractor Registry (CCR) Requirements?

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| o Register with a valid DUNS number, and | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| o Renew CCR registration yearly for the life of the grant. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

3. Does the project understand that they report Section 1512 (c) information to Cal EMA and not to FederalReporting.gov directly?

- | | | | |
|---|-------------------------------------|--------------------------|--------------------------|
| o Report the total number of hours worked for each ARRA funded position on the "Job Data Collection" sheets | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| o Completed Jobs Data Collection sheets are due to Cal EMA by the 3 rd working day of each month for JAG funded programs and by the 10 th day of the each month for VOCA or VAWA funded programs. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| o Failure to submit Jobs Data by the due date could result in the project's award being suspended and/or revoked. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

4. Does the project understand that by accepting the grant award, they agreed to:

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| o Track, account for, and report on all ARRA funds) including specific outcomes and benefits attributable to Recovery Act funds) separately from all other funds, including Cal EMA award fund from non ARRA awards awarded for the same or similar purposes or programs. (ARRA funds may be used in conjunction with other funding as necessary to complete projects, but tracking and reporting of ARRA funds must be separate); and | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| o Accounting systems must ensure that ARRA funds are not commingled with funds from any other source. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

YES **NO** **N/A**

5. Is the project familiar with Office of Management and Budget (OMB) circulars which govern their organization? Circulars may be found at www.whitehouse.gov/omb/circulars

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Comments:

6. Is the project aware that potential fraud, waste, or abuse must be promptly referred to the federal Department of Justice, Office of the Inspector General? Additional information is available from the DOJ OIG website at www.usdoj.gov/oig

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Comments:

7. Is the project aware that ARRA funds cannot be used by any State or local government, or any private entity, for construction costs or any other support of any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool

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Comments:

8. Does the project understand that by accepting the grant award, they:
- Agreed to provide Cal EMA, federal DOJ (including OJP and the Office of the Inspector General (OIG), and its representatives, and the Government Accountability Office (GOA), access to, and the right to examine all records (including, but not limited to, books, papers, and documents) related to ARRA funds, including such records of any sub-recipient, contractor, or subcontractor;
 - Acknowledges that Cal EMA, federal DOJ and the GAO are authorized to interview any officer or employee of the recipient (or of any sub-recipient, contractor, or subcontractor) regarding transactions related to this Recovery Act award.

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Comments:

9. For existing staff positions, does the project have documentation that the position would have been eliminated if not for Recovery Act funding?
- Budget comparisons and/or projections before and after the Recovery Act award date
 - Formal layoff recommendations and retractions (memos, reports)
 - Minutes of formal meetings where official budget decisions were made.

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Comments:

Board Resolution 10-128 references the acceptance of JAG-ARRA funds to mitigate the gap created by the elimination of SACPA / Proposition 36 funding.

10. Is the project aware of the Performance Measures and reporting timeline for ARRA funded programs:

- Reporting of Performance Measures will be accomplished using BJA's Performance Measurement Tool (PMT) ☒ ☐ ☐
- PMT reports must be completed on a quarterly basis (i.e. July 15, October 15, January 15, and April 15) for the life of the grant; ☒ ☐ ☐
- Failure to submit PMT reports by the due date could result in the project's award being suspended and/or revoked. ☒ ☐ ☐

(Specific to Recovery JAG funded programs only)

Comments:

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SECTION IV - ADDITIONAL COMMENTS

On 10/13/10, I met with project personnel from Nevada County Behavioral Health and Probation Department. Project personnel are aware of CalEMA reporting requirements and operational documents. The project maintains manual and electronic record-keeping documents to support grant expenditures and programmatic requirements reported to CalEMA.

Section I – 4 Proof of Authority

At the site visit the project supplied the Proof of Authority as required by Section 1350 of the Recipient Handbook. Although Resolution No. 10-128 authorizes the acceptance of OTP AARA funding, it does not authorize that the official executing the agreement is authorized to do so. This can be resolved upon receipt of pertinent Minutes, or a letter from the Board Chair.

A second matter is that the Certification of Assurance of Compliance is signed by the Chief Executive Officer in both signature blocks. Section 2150 of the Recipient Handbook states, "Two individuals must sign the Certification of Assurance of Compliance. The designated individual authorized to sign the Grant Award and the individual granting that authority..."

Both of the above issues must be resolved within 30 days of the date of this report and forwarded to Taunya Joseph, the Cal-EMA Program Specialist assigned to the project.

Section I – 17 Operational Agreements

The MOU with probation was not available at the time of this site visit. It must be forwarded to Taunya Joseph within 30 days of the date of this report.